

TO/10/50  
U.S. PATENT & TRADEMARK OFFICE  
PTO/10/50

Commissioner for Patents  
Washington, DC 20231  
ATTN: BOX PATENT APPLICATION

*Sheet 1 of 2*

U.S. Express Mail Label No.: EL744440552

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**  
Docket No.: 00-762  
Date: May 10, 2001

jc821 U.S. PTO  
09/852810  
05/10/01

Inventor Name(s):

BRIAN R. GAREAU AND JASON P. SAGE

Title:

COMPUTER ARCHITECTURE AND COMPUTER IMPLEMENTED AND/OR ASSISTED  
METHOD OF PERFORMING A CULTURAL ASSESSMENT OF AN ORGANIZATION AND  
MAKING IMPROVEMENTS THEREON

Fee Transmittal Form Attached in Duplicate

Specification and Claim(s) [Total Pages 88] ]

Drawing(s) [Total Sheets 17] ]  
FORMAL

Declaration [Total Pages 1] ]

Newly Executed (Original or Copy)

Copy From Prior Application (37 CFR § 1.63(d))

Deletion of Inventor(s) (37 CFR § 1.63(d)(2))  
(Signed Statement Attached)

Assignment Papers (Cover Sheet and Document(s))

37 CFR § 3.73(b) Statement (if applicable)  Power of Attorney

English Translation Document (if applicable)

Information Disclosure Statement (IDS)/PTO-1449

Copies of IDS Citations

Preliminary Amendment

Return Receipt Postcard (Specifically Itemized)

Certified Copy of Priority Document(s)

Other

005400-05400-05400

If a Continuing Application

Continuation       Divisional       Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner : ; and

Group/Art Unit:

Cancel Claims: [ ]

**For Continuations or Divisional Applications only:** The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

Customer Number or Bar Code Label: [ ] 719

or

Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

\*\*\*\*\*

Attorney/Agent: J. Wesley Blumenshine

Registration No.: 32,399

Signature: \_\_\_\_\_

Date: 5/10/01

Caterpillar Inc.

T00150-07825860

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,950)

## Complete if Known

Application Number	(Unassigned)
Filing Date	(Herewith)
First Named Inventor	Brian R. Gareau ET AL.
Examiner Name	(Unassigned)
Group Art Unit	(Unassigned)
Attorney Docket No.	00-762

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	03-1129
Deposit Account Name	

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee	Fee Description	Fee Paid
101 710	201 355	Utility filing fee		710		
106 320	206 160	Design filing fee				
107 490	207 245	Plant filing fee				
108 710	208 355	Reissue filing fee				
114 150	214 75	Provisional filing fee				
<b>SUBTOTAL (1) (\$ 710)</b>						

## 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims below	Fee from below	Fee Paid
40	-20** =		20 X .8 =	320	
14	-3*** =		11 X .80 =	880	

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee	Fee Description
103 18	203 9	Claims in excess of 20			
102 80	202 40	Independent claims in excess of 3			
104 270	204 135	Multiple dependent claim, if not paid			
109 80	209 40	** Reissue independent claims over original patent			
110 18	210 9	** Reissue claims in excess of 20 and over original patent			
<b>SUBTOTAL (2) (\$ 1,240)</b>					

\*For number previously paid, if greater. For Reissues, see above.

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath				
127 50	227 25	Surcharge - late provisional filing fee or cover sheet				
139 130	139 130	Non-English specification				
147 2,520	147 2,520	For filing a request for ex parte reexamination				
112 920*	112 920*	Requesting publication of SIR prior to Examiner action				
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action				
115 110	215 55	Extension for reply within first month				
116 390	216 195	Extension for reply within second month				
117 890	217 445	Extension for reply within third month				
118 1,390	218 695	Extension for reply within fourth month				
128 1,690	228 945	Extension for reply within fifth month				
119 310	219 165	Notice of Appeal				
120 310	220 155	Filing a brief in support of an appeal				
121 270	221 135	Request for oral hearing				
138 1,510	138 1,510	Petition to institute a public use proceeding				
140 110	240 55	Petition to revive - unavoidable				
141 1,240	241 620	Petition to revive - unintentional				
142 1,240	242 620	Utility issue fee (or reissue)				
143 440	243 220	Design issue fee				
144 600	244 300	Plant issue fee				
122 130	122 130	Petitions to the Commissioner				
123 50	123 50	Processing fee under 37 CFR 1.17(q)				
126 180	126 180	Submission of Information Disclosure Stmt				
581 40	581 40	Recording each patent assignment per property (times number of properties)				
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))				
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))				
179 710	279 355	Request for Continued Examination (RCE)				
169 900	169 900	Request for expedited examination of a design application				
Other fee (specify)						

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

Complete if Known

Name (Print/Type)	J. Wesley Blumenshine	Registration No. (Attorney/Agent)	32,399	Telephone	(309) 675-5537
Signature				Date	05/10/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.